

MIKE BEEBE
GOVERNOR

A. HEATH ABSHURE
COMMISSIONER



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ARKANSAS SECURITIES DEPARTMENT

AGENT OF THE ISSUER RENEWAL APPLICATION

"2011"

In order to renew an issuer agent registration, the agent must complete and sign the renewal application and provide the required attachment. Return this form, attachment and a \$75.00 fee, payable to the Arkansas Securities Department, before December 31, 2010.

Agent's Name _____
(Last) (First) (Middle)

Agent's Address _____
(Street) (City) (State)(Zip)

Name of Issuer _____ Phone Number _____

Issuer's Address _____
(Street) (City) (State)(Zip)

Contact Person _____ Phone Number _____

Contact Firm or Company _____

Contact Address _____
(Street) (City) (State)(Zip)

ATTACH – Continuation Certification reflecting (i) the current period of coverage for the agent, (ii) the name of the agent, and (iii) the name of the Issuer.

Are you now, or within the past two (2) years have you or any firm, corporation or association of which you were or are a principal or officer:

- (a) been the subject of a major complaint or a party to a legal proceeding in which fraud, misrepresentation or deceit was an issue or had an allegation of a violation of a securities law or rule made against you? Yes___ No___
- (b) been discharged, requested or permitted to resign for cause? Yes___ No___
- (c) been refused coverage under a fidelity or surety bond or has any surety company paid out any funds on your coverage or canceled such coverage? Yes___ No___
- (d) been the subject of any investigation or proceeding (including the filing of a complaint or the commencement of a proceeding or received a notice of an intention to do so) by an administrative agency, regulatory agency, self-regulatory agency or court? Yes___ No___
- (e) had a license, permit, certificate, registration or membership denied, suspended, revoked or restricted or had an application withdrawn for cause? Yes___ No___

- (f) been the subject of any order, decree or other sanction _____ (other than a divorce)? Yes___ No___
- (g) been arrested, indicted, convicted or pled guilty or nolo contendere to any misdemeanor charge involving a security or any aspect of the securities business or to any felony? Yes___ No___
- (h) been the subject of a cease and desist or similar order or temporary or permanent injunction involving any aspect of the securities business? Yes___ No___

If yes to any of the above questions, give principal facts, name of court (or administrative and/or self regulatory organization) and final disposition of case, including appeals. Please attach to this form.

I HEREBY CERTIFY THAT THE FOREGOING ANSWERS ARE TRUE AND CORRECT AND THAT THE ANSWERS HERETOFORE GIVEN BY ME ON MY ORIGINAL APPLICATION ARE NOW TRUE AND CORRECT EXCEPT FOR THE CHANGES REFLECTED HEREON OR AS CORRECTED IN PREVIOUS RENEWAL APPLICATIONS.

Signature of Agent

SUBSCRIBED AND SWORN TO before me on this ____ day of _____, 20____.

Notary Public

My Commission Expires:

(Notary Seal)

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